



RECEIVED  
96 SEP 27 AM 8 32  
GROUP 260  
ATTORNEY'S DOCKET NO. C0441/7046

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arrowsmith et al.  
Serial No: 08/412,955  
Filed: March 29, 1995  
For: METHOD AND APPARATUS FOR POLICY-BASED ALARM  
NOTIFICATION IN A DISTRIBUTED NETWORK MANAGEMENT  
ENVIRONMENT

Examiner: - -  
Art Unit: 2608

THE COMMISSIONER OF PATENTS AND TRADEMARKS  
WASHINGTON, D.C. 20231

Transmitted herewith is/are the following document(s):

- [x] Information Disclosure Statement
- [x] PTO Form 1449

RECEIVED  
OCT - 1 96  
GROUP 2600

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617)720-3500, Boston, Massachusetts.

No fee is required. If the fee is insufficient, the balance may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully Submitted,

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231,

on 9-17-96  
DATE

THERESE A. HENDRICKS

Therese A. Hendricks  
Reg. No. 30,389  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210-2211  
(617)720-3500

Docket No. C0441/7046  
September 17, 1996  
xndd



ATTORNEY'S DOCKET NO. C0441/7046

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arrowsmith et al. GROUP 260  
Serial No: 08/412,955  
Filed: March 29, 1996  
For: METHOD AND APPARATUS FOR POLICY-BASED ALARM  
NOTIFICATION IN A DISTRIBUTED NETWORK MANAGEMENT  
ENVIRONMENT

Examiner: --  
Art Unit: ~~2608~~

Hon. Commissioner of Patents and Trademarks  
Washington, D.C. 20231

STATEMENT FILED PURSUANT TO THE DUTY OF  
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98

RECEIVED  
OCT - 1 96  
GROUP 2600

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98,  
the Applicant requests consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed before the mailing date  
of a first Office Action on the merits in the above-identified case. No fee or  
certification is required.

PART II - Information Cited

[X] A. The Applicant hereby makes of record in the above-identified application  
the information listed on the attached form PTO-1449 (modified). The order of  
presentation of the references should not be construed as an indication of the  
importance of the references.

[ ] B. The Applicant hereby makes the following additional information of record in the above-identified application:

[ ] PART III: Explanation of Non-English Language References and Remarks Concerning Other Information Cited

The following is a concise explanation of the relevance of each non-English language reference listed on the attached form PTO-1449 (modified):

The following are remarks concerning the other information cited:

Applicants submit herewith the International Search Report from related PCT Application No. PCT/US96/04332. Note that the related case, against which the European Patent Office has cited the prior art, has different claims than the present case.

PART IV: Remarks

A copy of each of the above-identified information is enclosed unless otherwise indicated on the attached form PTO-1449 (modified). It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

By: 

Therese A. Hendricks  
Registration No. 30,389  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210  
Tel. (617)720-3500

Docket No. **C0441/7046**

Dated: September 17, 1996